

EEOC Form 5 (5/01)

CHARGE OF DISCRIMINATION		Charge Presented To:		Agency(ies) Charge No(s):	
This form is affected by the Privacy Act of 1974. See enclosed Privacy Act Statement and other information before completing this form.		<input type="checkbox"/> FEPA <input checked="" type="checkbox"/> EEOC		210-2005-09745	
Illinois Department Of Human Rights and EEOC State or local Agency, if any					
Name (Indicate Mr., Ms., Mrs.) Barbara R. Kaplan		Home Phone No. (incl. Area Code) (312) 787-3503		Date of Birth 03-24-1946	
Street Address 180 E. Pearson, #5803, Chicago, IL 60611 City, State and ZIP Code					
Named is the Employer, Labor Organization, Employment Agency, Apprenticeship Committee, or State or Local Government Agency That I Believe Discriminated Against Me or Others. (If more than two, list under PARTICULARS below.)					
Name WUNDERLICH SECURITIES		No. Employees, Members 15 - 100		Phone No. (Include Area Code) (312) 845-1029	
Street Address 200 W Madison St, Chicago, IL 60606 City, State and ZIP Code					
Name		No. Employees, Members		Phone No. (Include Area Code)	
Street Address City, State and ZIP Code					
DISCRIMINATION BASED ON (Check appropriate box(es).) <input type="checkbox"/> RACE <input type="checkbox"/> COLOR <input checked="" type="checkbox"/> SEX <input checked="" type="checkbox"/> RELIGION <input type="checkbox"/> NATIONAL ORIGIN <input type="checkbox"/> RETALIATION <input checked="" type="checkbox"/> AGE <input checked="" type="checkbox"/> DISABILITY <input type="checkbox"/> OTHER (Specify below.)				DATE(S) DISCRIMINATION TOOK PLACE Earliest 01-02-2005 Latest 09-22-2005 <input type="checkbox"/> CONTINUING ACTION	
THE PARTICULARS ARE (If additional paper is needed, attach extra sheet(s)): I was hired by Respondent on July 19, 2004. My most recent position was Senior Vice-President. Beginning in or around February 2005, and continuing throughout my employment, I have been subjected to harassment based on my sex, religion, disability, and age. Respondent is aware of my disability. On September 22, 2005 I was terminated. I believe I have been discriminated against based on my sex, female, and religion, Jewish, in violation of Title VII of the Civil Rights Act of 1964, as amended. I believe I have been discriminated against based on my disability, in violation of the Americans with Disabilities Act of 1990. I believe I have been discriminated against based on my age, 59, (d/o/b 03/24/1946), in violation of the Age Discrimination in Employment Act of 1967. RECEIVED EEOC OCT 0 / 2005 CHICAGO DISTRICT OFFICE					
I want this charge filed with both the EEOC and the State or local Agency, if any. I will advise the agencies if I change my address or phone number and I will cooperate fully with them in the processing of my charge in accordance with their procedures.		NOTARY - When necessary for State and Local Agency Requirements.			
I declare under penalty of perjury that the above is true and correct.		I swear or affirm that I have read the above charge and that it is true to the best of my knowledge, information and belief. SIGNATURE OF COMPLAINANT			
Oct 07, 2005 Date Charging Party Signature		SUBSCRIBED AND SWORN TO BEFORE ME THIS DATE (month, day, year)			

EXHIBIT

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Equal Employment Opportunity Commission

DISMISSAL AND NOTICE OF RIGHTS

To: Barbara Kaplan
180 E. Pearson, #5803
Chicago, IL 60611

From: Equal Employment Opportunity Commission
500 West Madison
Suite 2800
Chicago, Illinois 60661

Certified No.: 7099 3400 0006 7303 7464

☐ On behalf of a person aggrieved whose identity is
CONFIDENTIAL (29 CFR § 1601.7(a))

Charge No.
210-2005-09745

EEOC Representative
Carol Milazzo, Investigator

Telephone No:
(312) 353-7453

(See the additional information attached to this form.)

YOUR CHARGE IS DISMISSED FOR THE FOLLOWING REASON:

- ☐ The facts you allege fail to state a claim under any of the statutes enforced by the Commission
- ☐ Respondent employs less than the required number of employees.
- ☐ Your charge was not timely filed with the Commission, i.e., you waited too long after the date(s) of the discrimination you alleged to file your charge. Because it was filed outside the time limit prescribed by law, the Commission cannot investigate your allegations.
- ☐ You failed to provide requested information, failed or refused to appear or to be available for necessary interviews/conferences, or otherwise refused to cooperate to the extent that the Commission has been unable to resolve your charge. You have had more than 30 days in which to respond to our final written request.
- ☐ The Commission has made reasonable efforts to locate you and has been unable to do so. You have had at least 30 days in which to respond to a notice sent to your last known address.
- ☐ The respondent has made a reasonable settlement offer which affords full relief for the harm you alleged. At least 30 days have expired since you received actual notice of this settlement offer.
- ☒ The Commission issues the following determination: Based upon the Commission's investigation, the Commission is unable to conclude that the information obtained establishes violations of the statutes. This does not certify that the respondent is in compliance with the statutes. No finding is made as to any other issues that might be construed as having been raised by this charge.
- ☐ Other (briefly state) _____

- NOTICE OF SUIT RIGHTS -

- ☒ Title VII and/or the Americans with Disabilities Act: This is your NOTICE OF RIGHT TO SUE, which terminates the Commission's processing of your charge. If you want to pursue your charge further, you have the right to sue the respondent(s) named in your charge in a court of competent jurisdiction. If you decide to sue, you must sue WITHIN 90 DAYS from your receipt of this Notice; otherwise your right to sue is lost.
- ☒ Age Discrimination in Employment Act: This is your NOTICE OF DISMISSAL OR TERMINATION, which terminates processing of your charge. If you want to pursue your charge further, you have the right to sue the respondent(s) named in your charge in a court of competent jurisdiction. If you decide to sue, you must sue WITHIN 90 DAYS from your receipt of this Notice; otherwise your right to sue is lost.
- ☐ Equal Pay Act (EPA): EPA suits must be brought within 2 years (3 years for willful violations) of the alleged EPA underpayment.

On behalf of the Commission

October 21, 2005

John P. Rowe, Jr.
John P. Rowe, District Director

Enclosures

Information Sheets
Copy of Charge
cc: Respondent(s)

Wunderlich Securities